



UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE
United States Patent and Trademark Office
Address: COMMISSIONER FOR PATENTS
P.O. Box 1450
Alexandria, Virginia 22313-1450
www.uspto.gov

APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/661,503	09/15/2003	Yuji Hikawa	117186	7409
25944	7590	12/18/2007		
OLIFF & BERRIDGE, PLC				
P.O. BOX 320850				
ALEXANDRIA, VA 22320-4850				
EXAMINER				
LEE, PHILIP C				
ART UNIT		PAPER NUMBER		
2152				
MAIL DATE		DELIVERY MODE		
12/18/2007		PAPER		

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary

Application No.

10/661,503

Applicant(s)

HIKAWA ET AL.

Examiner

Philip C. Lee

Art Unit

2152

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 28 September 2007.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-17 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-17 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☒ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☒ All b) ☐ Some * c) ☐ None of:
1. ☒ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

1. This action is responsive to the amendment and remarks filed on September 28, 2007.
2. Claims 1-17 are presented for examination.
3. The text of those sections of Title 35, U.S. code not included in this office action can be found in a prior office action.

Objection

4. The specification is objected to as failing to provide proper antecedent basis for the claimed subject matter. See 37 CFR 1.75(d)(1) and MPEP § 608.01(o). Correction of the following is required: claim 1, line 11, a management *controller* (the specification is lacking the term “controller”).
5. Claims 3 and 6 are objected to because of the following informalities: As per claims 3 (lines 9-10) and 6 (line 12), “the associated processings” should have been “the multiple processings”. Appropriate correction is required.

Claim Rejections – 35 USC 101

6. Claims 1-2 are rejected under 35 U.S.C. 101 because “A service processing system” comprising “an indication data creation part”, “a management control part”, and “a notice part”

(i.e., software) does not include any functional structure of a system (i.e., apparatus). "A service processing system" comprising "an indication data creation part", "a management control part", and "a notice part" (i.e., software) can be considered as an apparatus comprising software (i.e., program per se), which is not one of the categories of statutory subject matter.

7. Claims 5-17 are rejected under 35 U.S.C. 101 because "A device" comprising parts (i.e., software) does not include any functional structure of a system (i.e., apparatus). "A device" comprising parts (i.e., software) can be considered as an apparatus comprising software (i.e., program per se), which is not one of the categories of statutory subject matter.

8. It is noted that "A system" / "A device" are lacking the necessary structural/mechanical element to be a system/a device (i.e., hardware) as claims appear directed solely to software elements/processes. Accordingly, the rejections are maintained.

Claim Rejections – 35 USC 102

9. Claims 1-7 are rejected under 35 U.S.C. 102(e) as being anticipated by Yaung, U.S. Patent 7,069,536 (hereinafter Yaung).

10. Yaung was cited in the previous office action.

11. As per claim 1, Yaung teaches the invention as claimed in which specified multiple processings of document data are processed in a cooperative manner on a network (col. 4, lines 37-46), comprising: an indication data creation part that creates indication data to indicate multiple processings performed to document data (creates a workflow to define the sequence and the order in which the nodes are processed) (col. 5, lines 23-53; col. 7, lines 10-19), and notice condition data to indicate an event to be notified regarding the multiple processings (to notify a user when not completed) (col. 6, lines 20-38) and a way to notify the event (fig. 3; col. 6, lines 9-13); at least one execution apparatus that performs the multiple processing based on the indication data (col. 3, lines 17-19, 32-38); a management controller that manages progress of multiple processings (manages the execution of processes for the workflow defined, manages processes and states, communicates with user of part of workflow) (col. 3, lines 32-38; col. 7, lines 23-27, 34-36); and a notice part that sends a notice during the progress of the multiple processings based on contents recited in the notice condition data (sending notification, col. 6, lines 31-34; col. 7, lines 55-59).

12. As per claim 3, Yaung teaches the invention as claimed in which specified multiple processings of document data are processed in a cooperative manner on a network (col. 4, lines 37-46), comprising: creating indication data to indicate multiple processings performed to a document (creates a workflow to define the sequence and the order in which the nodes are processed) (col. 5, lines 23-53; col. 7, lines 10-19), and notice condition data to indicate an event (to notify a user when not completed) (col. 6, lines 20-38) to be notified regarding the multiple processings and a way to notify the event (fig. 3; col. 6, lines 9-13); managing progress of the

associated processings (manages the execution of processes for the workflow defined, manages processes and states, communicates with user of part of workflow) (col. 3, lines 32-38; col. 7, lines 23-27, 34-36); and sending a notice during the multiple processings based on contents recited in the notice condition data (sending notification, col. 6, lines 31-34; col. 7, lines 55-59).

13. As per claim 5, Yaung teaches the invention as claimed for managing progress of multiple processings in a service processing system in which the multiple processings to document data are processed in a cooperative manner on a network (col. 4, lines 37-46), comprising: an indication data creation part that creates indication data to indicate the multiple processings (creates a workflow to define the sequence and the order in which the nodes are processed) (col. 5, lines 23-53; col. 7, lines 10-19), and notice condition data to indicate an event to be notified regarding the multiple processings (to notify a user when not completed) (col. 6, lines 20-38) and a way to notify an event (fig. 3; col. 6, lines 9-13); a management control part that manages progress of the multiple processings (manages the execution of processes for the workflow defined, manages processes and states, communicates with user of part of workflow) (col. 3, lines 32-38; col. 7, lines 23-27, 34-36); and a notice part that sends a notice during the progress of the multiple processings based on contents recited in the notice condition data (sending notification, col. 6, lines 31-34; col. 7, lines 55-59).

14. As per claim 6, Yaung teaches the invention as claimed for managing progress of multiple processings in a service processing system in which the multiple processings to document data are processed in a cooperative manner on a network (col. 4, lines 37-46),

comprising: an indication data reception part that receives indication data to indicate the multiple processing (receives the sequence and the order in which the nodes are processed in a workflow) (col. 5, lines 23-53; col. 7, lines 10-19), and notice condition data to indicate an event to be notified regarding the multiple processings (to notify a user when not completed) (col. 6, lines 20-38) and a way to notify the event (fig. 3; col. 6, lines 9-13); a management control part that manages progress of the associated processings (manages the execution of processes for the workflow defined, manages processes and states, communicates with user of part of workflow) (col. 3, lines 32-38; col. 7, lines 23-27, 34-36); and a notice part that sends a notice during the progress of the multiple processings based on contents recited in the notice condition data (sending notification, col. 6, lines 31-34; col. 7, lines 55-59).

15. As per claim 7, Yaung teaches the invention as claimed in a service processing system in which multiple processings to document data are processed in a cooperative manner on a network (col. 4, lines 37-46), comprising: an indication data reception part that receives indication data to indicate the multiple processings (receives the sequence and the order in which the nodes are processed in a workflow) (col. 5, lines 23-53; col. 7, lines 10-19), and notice condition data to indicate an event to be notified regarding the multiple processings (to notify a user when not completed) (col. 6, lines 20-38) and a way to notify the event (fig. 3; col. 6, lines 9-13); a management control part that manages progress of the multiple processings (manages the execution of processes for the workflow defined, manages processes and states, communicates with user of part of workflow) (col. 3, lines 32-38; col. 7, lines 23-27, 34-36); and

a notice part that sends a notice during the progress of the multiple processings based on contents recited in the notice condition data (sending notification, col. 6, lines 31-34; col. 7, lines 55-59).

16. As per claims 2 and 4, Yaung teaches the invention as claimed in claims 1 and 3 above. Yaung further teach comprising a notice form change part that varies the way to notify the event recited in the notice condition data in a case where a specific user performs a processing different from the multiple processings indicated in the indication data (in case when user modifies the defined workflow (e.g., changing or adding a node to the workflow), the user can varies the setting used to notify the event associated with the modified workflow) (col. 12, lines 11-15, 40-48).

Claim Rejections – 35 USC 103

17. Claims 8, 12, 13 and 17 are rejected under 35 U.S.C. 103(a) as being unpatentable over Yaung in view of Ouchi, U.S. Patent Application Publication 2003/0061266 (hereinafter Ouchi).

18. Ouchi was cited in the previous office action.

19. As per claims 8 and 13, Yaung teaches the invention as claimed in claims 6 and 7 above. Yaung does not teach gives notice of execution completion. Ouchi teaches sends the notice when the multiple processings are completed ([0032]).

20. It would have been obvious to one having ordinary skill in the art at the time of the invention was made to combine the teachings of Yaung and Ouchi because Ouchi's teaching of notice of execution completion would enhance the notification mechanism in Yaung's system by providing notification of task progress or completion in a workflow.

21. As per claims 12 and 17, Yaung teaches the invention as claimed in claims 6 and 7 above. Yaung does not teach sends a notice in a case where a pay server or service is about to be executed. Ouchi teaches sends the notice in a case where service which needs to be paid (e.g., must include fees for filing a permit application to the county) is about to be executed ([0033] and [0024]) (message to initiate).

22. It would have been obvious to one having ordinary skill in the art at the time of the invention was made to combine the teachings of Yaung and Ouchi because Ouchi's teaching of notice in a case where a pay server or service is about to be executed would enhance the notification mechanism in Yaung's system by providing notification of task progress or completion in a workflow.

23. Claims 9 and 14 are rejected under 35 U.S.C. 103(a) as being unpatentable over Yaung in view of Tarumi et al, U.S. Patent 5,918,226 (hereinafter Tarumi).

24. Tarumi was cited in the previous office action.

25. As per claims 9 and 14, Yaung teaches the invention as claimed in claims 6 and 7 above. Yaung does not teach notice in a case where progress different from progress of the job recited in the indication data occurs. Tarumi teaches sending the notice in a case where a processing different from the multiple processings recited in the indication data occurs (col. 25, lines 38-49).

26. It would have been obvious to one having ordinary skill in the art at the time of the invention was made to combine the teachings of Yaung and Tarumi because Tarumi's teaching of sending a notice in a case where progress different from progress of the job recited in the indication data occurs would enhance the notification mechanism in Yaung's system by providing notification of task progress or completion in a workflow.

27. Claims 10 and 15 are rejected under 35 U.S.C. 103(a) as being unpatentable over Yaung in view of Ghaffar, U.S. Patent 7,200,860 (hereinafter Ghaffar).

28. Ghaffar was cited in the previous office action.

29. As per claims 10 and 15, Yaung teaches the invention as claimed in claims 6 and 7 above. Yaung does not teach sends a notice in a case where an access to a file for a secret document occurs. Ghaffar teaches sending the notice in a case where an access to a file for a secret document occurs (col. 4, lines 8-19).

30. It would have been obvious to one having ordinary skill in the art at the time of the invention was made to combine the teachings of Yaung and Ghaffar because Ghaffar's teaching of sending a notice in a case where an access to a file for a secret document occurs would increase the security of Yaung's system by displaying a warning of an unauthorized access attempt to system operator.

31. Claims 11 and 16 are rejected under 35 U.S.C. 103(a) as being unpatentable over Yaung in view of Palekar et al, U.S. Patent Application Publication 2006/0005229 (hereinafter Palekar).

32. Palekar was cited in the previous office action.

33. As per claims 11 and 16, Yaung teaches the invention as claimed in claims 6 and 7 above. Yaung does not teach sends a notice in a case where login to a specified server occurs. Palekar teaches sending the notice in a case where login to a specified server occurs ([0033]).

34. It would have been obvious to one having ordinary skill in the art at the time of the invention was made to combine the teachings of Yaung and Palekar because Palekar's teaching of sending a notice in a case where login to a specified server occurs would increase the security of Yaung's system by providing login information as a notification in order to determine user's permission to access a server.

35. Applicant's arguments filed 9/28/07 have been fully considered but they are not persuasive.

36. In the remarks, applicant argued that:

(1) Yaung fails to teach performing specified multiple processings of document data including at least "a notice part that sends a notice during the progress of each of the multiple processings based on contents recited in the notice condition data".

37. In response to point (1), Yaung teaches performing specified multiple processings of document data according to a workflow (col. 4, lines 47-67). Yaung further teach sending a notification during the progress of the processes in a workflow based on notification setting associated with the processes in the workflow (col. 6, lines 9-13, 27-34; col. 7, lines 55-59).

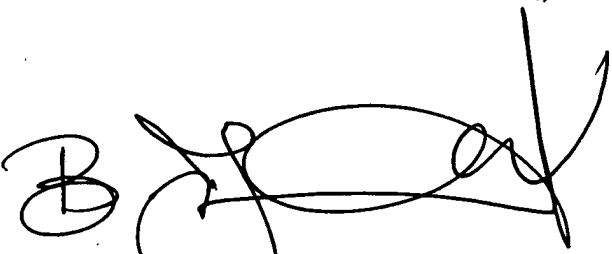
38. **THIS ACTION IS MADE FINAL.** Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a). A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX

Application/Control Number:
10/661,503
Art Unit: 2152

Page 12

MONTHS from the mailing date of this final action. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Philip C Lee whose telephone number is (571)272-3967. The examiner can normally be reached on 8 AM TO 5:30 PM Monday to Thursday and every other Friday. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Bunjob Jaroenchonwanit can be reached on (571) 272-3913. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

P.L.


BUNJOB JAROENCHONWANIT
SUPERVISORY PATENT EXAMINER
12/17/7